



**Serco Services Inc. (Serco)
Pre-Grant Publication Classification Services
(PGPCS)
Privacy Threshold Analysis (PTA)/
Privacy Impact Assessment (PIA)**

Version 2.0

December 11, 2009

Prepared for:
Department of Commerce
United States Patent and Trademark Office
Office of Chief Information Officer
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Record of Changes/Version History

Change/Version Number	Date of Change	Sections Changed	Description	Person Entering Change
Version 1.0	6/26/2008	(all)	Original issue as part of FY2008 Annual Security Assessment package	Jim Schifalacqua
Version 2.0	12/11/2009	All	Updates as part of FY2010 C&A	Jim Schifalacqua



Privacy Threshold Analysis (PTA)

Instructions: Complete the "Privacy Threshold Analysis" section of this document and return it to a United States Patent and Trademark Office (USPTO) Senior Privacy Official. If it is determined that a Privacy Impact Assessment (PIA) is required as noted in the "Designation" section, the "Privacy Impact Assessment" section will be required to be completed and returned to the USPTO Senior Privacy Official for review and approval.

1. Describe the Serco Services Inc., a wholly owned subsidiary of Serco Inc. and formerly known as SI International, Inc. (Serco) Pre-Grant Publication Classification Services (PGPCS) and its purpose:

The PGPCS system provides the following services and functions in support of the USPTO mission:

- (1) Pre-classify patent applications according to USPTO classification schedules;
- (2) Route applications through the classification process;
- (3) Guide a patent classifier through the classification process.

The purpose of this system is for Serco to assist USPTO in processing Patent Applications.

2. Status of PGPCS:

☐ This is a new development effort.

☒ This is an existing system.

Date first developed: 6/20/2007

Date last updated: N/A

3. Does the PGPCS relate exclusively to the network infrastructure? [For example, is the system exclusively a Local Area Network (LAN) or Wide Area Network (WAN)]?

☒ No. Please continue to the next question.

☐ Yes. Is there a log kept of communication traffic?

☐ No. Please continue to the next question.

☐ Yes. What type of data is recorded in the log? (Please choose all that apply.)

☐ Header



☐ Payload

4. Could the PGPCS contain information that relates in any way to an individual?

☐ No. Please skip ahead to question 5.

☒ Yes. Please provide a general description, below.

Serco PGPCS processes information collected by the USPTO under Office of Management and Budget (OMB) Collection Number 0651-0031, Initial Patent Applications. Bibliographic data (Inventor name, Inventor address, Citizenship, and Correspondence address) are collected from the applicant or applicant's legal representative and attached to the electronic patent application files sent to Serco for pre-grant publication classification. Once publication by USPTO has occurred, this data is publicly available.

5. Does PGPCS use or collect Protectable Personally Identifiable Information (PII) ¹ or Publicly Releasable PII²? (Refer to the USPTO IT Privacy Policy for additional information specific to handling PII.)

☐ No.

☒ Yes. Why does PGPCS collect PII?

The name and address of the Inventor is collected to uniquely identify the Inventor and is required as part of Patent Rights determination under the Patent statutes. Correspondence address is collected to facilitate communications with the applicant or applicant's legal representative.

¹ Protectable PII is defined as Information that can be used to uniquely identify (e.g., date of birth, gender, race, social security number, credit card account number, medical information, education information, etc.) contact (e.g., home address, phone number, etc.) or locate an individual (e.g., home or work address, etc).

² Publicly Releasable PII is defined as information identifiable to a specific individual that has been authorized for public release. The following information is publicly releasable PII:

- Non-financial information regarding business entities, such as business addresses, telephone numbers, web sites, e-mail; and
- Information available on the USPTO public website such as employee name, identification number, phone number and office location.



6. What information about individuals could be collected, generated or retained?

The following bibliographic data are collected from the applicant or applicant's legal representative:

- Inventor name
- Inventor address
- Citizenship
- Employer, company information
- Telephone Number(s)
- E-mail address

No individually identifiable payment-related information or other PII related to the Privacy Act (such as Social Security number) is transmitted to Serco or processed by PGPCS.

Designation

☐ This is NOT a Privacy Sensitive System – the system contains no Personally Identifiable Information.

☒ This IS a Privacy Sensitive System (Check all that apply)

☐ PTA sufficient at this time

☒ A PIA is required

☐ National Security System

☐ Legacy System

☐ HR System

☐ Financial System



Privacy Impact Assessment (PIA)

1. What information is to be collected (e.g., nature and source)?

Serco Services Inc., a wholly owned subsidiary of Serco Inc. and formerly known as SI International, Inc. (Serco) Pre-Grant Publication Classification Services (PGPCS) system processes information collected by the United States Patent and Trademark Office (USPTO) under Office of Management and Budget (OMB) Collection Number 0651-0031, Initial Patent Applications. Bibliographic data (Inventor name, Inventor address, Citizenship, Correspondence address, Employer name and address, Telephone number[s], and E-mail address) are collected from the applicant or applicant's legal representative and attached to the electronic patent application files sent to Serco for pre-grant publication classification. Once publication by USPTO has occurred, this data is publicly available.

No individually identifiable payment-related information or other PII related to the Privacy Act (such as Social Security number) is transmitted to Serco or processed by PGPCS.

2. Why is the information being collected (e.g., to determine eligibility)?

The name and address of the Inventor is collected to uniquely identify the Inventor and is required as part of Patent Rights determination under the Patent statutes. Correspondence address and other contact information are collected to facilitate communications with the applicant or applicant's legal representative.

3. What is the intended use of the information (e.g., to verify existing data)?

The information is part of the official record of the application and is used to document Inventor location and nationality and for communications.

4. With whom will the information be shared (e.g., another agency for a specified programmatic purpose)?

During processing, the information is passed through to various stages of the Serco PGPCS workflow and the Serco's Automated Information Systems dedicated to PGPCS. The information is not shared with any entity outside of the PGPCS operational facility, neither with other components of Serco, nor externally to any commercial business partners not present at the PGPCS operational facility and authorized to access this information.



5. What opportunities do individuals have to decline to provide information (where providing information is voluntary) or to consent to particular uses of the information (other than required or authorized uses), and how can individuals grant consent?

The information must be provided to USPTO in order for the USPTO to process the patent application. The information becomes part of the official record of the application, and as such is transmitted to Serco for processing.

6. How will the information be secured (e.g., administrative and technological controls)?

According to 35 U.S.C. Section 122, USPTO must maintain patent applications in confidence. In order for Serco to support this, the PGPCS Automated Information Systems (AISs) which process unpublished patent application data have undergone a formal IT Security Certification & Accreditation process and have been approved for operation with the requisite and appropriate security controls in place and in conformance with Federal IT Security Policy.

Specific safeguards that are employed by Serco PGPCS to protect the patent applications include:

- The PGPCS system and its facility are physically isolated and closely monitored. Only individuals authorized by USPTO are allowed access to the system.
- All patent information is encrypted when transferred between PGPCS and USPTO using secure electronic methods.
- All patent information is encrypted before leaving the facility and is stored at backup facilities in encrypted form.
- Technical, operational, and management security controls are in place at PGPCS and are verified regularly.
- Periodic security testing is conducted on the PGPCS system to help assure that any new security vulnerabilities are discovered and fixed.
- All PGPCS personnel are trained to securely handle patent information and to understand their responsibilities for protecting patents.

7. Is a system of records being created under the Privacy Act, 5 U.S.C. 552a?

No, there is no new system of records being created. Existing Systems of Records cover the information residing in the databases. These include the COMMERCE/PAT-TM-7, Patent Application Files.



Privacy Impact Assessment Approval

The Privacy Impact Assessment for the Serco Services Inc., a wholly owned subsidiary of Serco Inc. and formerly known as SI International, Inc. (Serco) Pre-Grant Publication Classification Services (PGPCS) system has been prepared by Jim Schifalacqua and approved by Doug Sawin.

<u>/s/ Jim Schifalacqua</u>	<u>12/15/2009</u>
Prepared by Jim Schifalacqua, Serco	Date

<u>/s/ Doug Sawin</u>	<u>12/18/2009</u>
Approved by Doug Sawin	Date
Program Manager, Serco	

I, as the System Owner for the Serco PGPCS system, concur with the information contained in this Privacy Impact Assessment.

<u>/s/ Amber Ostrup</u>	<u>12/23/2009</u>
Amber Ostrup	Date
Contracting Officer's Technical Representative	
System Owner for the Serco PGPCS System	

I have reviewed this Privacy Impact Assessment and recommend that it be approved.

<u>/s/ Rod Turk</u>	<u>02/19/2010</u>
Rod Turk	Date
Senior Agency Information Security Officer	

I have reviewed and approve this Privacy Impact Assessment.

<u>/s/ John B. Owens II</u>	<u>03/02/2010</u>
John B. Owens II	Date
Chief Information Officer	
Co-Authorizing Official for the Serco PGPCS System	

I have reviewed and approve this Privacy Impact Assessment.

<u>/s/ Robert L. Stoll</u>	<u>05/21/2010</u>
Robert L. Stoll	Date
Commissioner for Patents	
Co-Authorizing Official for the Serco PGPCS System	

cc: Deputy Chief Information Officer
Senior Agency Information Security Officer